PCT Applicant's Guide - Volume II - National Chapter - US

Annex US.II, page 1

FORM PTO-1390 (REV 1-98)				MENT OF COMMENCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 81839.0107				
	TRANSMITTAL LETTER TO DESIGNATED/ELECTED CONCERNING A FILING			D OFFICE (DO/EO/US)	U.S. APPLICATION NUMBER (if known, see 37 C.F.R. 1.5)				
INT	ERNA	TIONAL APPLICATION 1	NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED				
		PCT/JP01/03101		10 April 2001	14 April 2000				
TITLE OF INVENTION SILICO AND M				N WAFER, SILICON EPITAXIAL WAFER AND ANNEALED WAFER, ETHOD FOR PRODUCING THE SAME					
APPLICANT(S) FOR DO/EO/US Makoto IIDA and Masanori KIMURA									
App	Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:								
1. This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.									
2. This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.									
<ul> <li>This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li>A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> </ul>									
		<ul> <li>a. is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. is transmitted by the International Bureau.</li> </ul>							
				nternational Buleau.  ation was filed in the United States Receiving Office	(RO/US).				
6.	×.	A translation of the International Application into English (35 U.S.C. 371(c)(2)).							
7.		Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))							
	7	a. are transmitted herewith (required only if not transmitted by the International Bureau).							
		b. have been tran	smitted by the	International Bureau.	IOT expired				
		c. have not been made; however, the time limit for making such amendments has NOT expired.  d. have not been made and will not be made.							
8.	П	DOT A SIJE C 271/0/20							
9. An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).									
10.		D 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1							
Itei	Items 11. to 16. below concern document(s) or information included:								
11. An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.									
12.	12. An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.								
13. A FIRST preliminary amendment.									
		A SECOND or SUBSEQ							
14. A substitute specification.									
15.									
16.  Other items or information:									
		·							
1									

....



U.S. APPLICATION (if known, see 37 C.F.		INTERNATIONAL APPLICATION NUMBER PCT/JP01/03101			ATTORNEY'S DOCKET NUMBER 81839.0107				
17. A The follow	wing fees are submitted	CALCULATIONS PTO USE ONLY							
BASIC NATIONAL	FEE (37 C.F.R. 1.492	2(a)(1)-(5)):							
international search	al preliminary examina i fee (37 C.F.R. 1.445(a h Report not prepared b	·							
International prelin USPTO but Interna	ninary examination fee tional Search Report p								
	ninary examination fee tional search fee (37 C								
International prelin but all claims did n	ninary examination fee ot satisfy provisions of								
	ninary examination fee fied provisions of PCT								
	ENT	ER APPROPRI	ATE BASIC FEE	AMOUNT =	\$ 890.00				
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 C.F.R. 1.492(e)).									
CLAIMS	NUMBER FILED	NUMBER ALLOWED	NUMBER EXTRA	RATE					
Total claims	18	20	0	X \$18.00	0				
Independent claims	6	3	3	X \$84.00	252.00				
MULTIPLE DEPE	NDENT CLAIM(S) (i	f applicable)		X \$280.00	\$ 0				
		TOTAL OF	ABOVE CALCU	JLATIONS =	1142.00				
Applicant claims small entity status. See 37 C.F.R. § 1.27. The fees indicated above are reduced by 1/2.									
		1142.00							
Processing fee of \$13 30 months from the e	0.00 for furnishing the arliest claimed priority	□ 20 □ +	\$ 0						
			TOTAL NATIO		0				
Fee for recording the accompanied by an a	enclosed assignment (	37 C.F.R. 1.21(h) (37 C.F.R. 3.28,	)). The assignmen 3.31). <b>\$40.00</b> per	t must be property +	\$ 40				
			TOTAL FEES E	NCLOSED =	1182.00				
					Amt. Refunded	\$			
\$			47-		Amt. charged				
a. 🛛 Checks in	a.								
b. Please charge my Deposit Account No. 50-1314 in the amount of 0 to cover the above fees. A duplicate copy of this sheet is enclosed.									
c. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1314. A duplicate copy of this sheet is enclosed.									
NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.									
SEND ALL CORRESPONDENCE TO:									
© Customer Number 000026021									
HOGAN & HARTSON L.L.P.  500 South Grand Avenue, Suite 1900 Les Appeles Colifornia 20071  26021  SIGNATURE  Lawrence J. McClure  REG.NO. 44,228									
Los Angeles, Califor	nia 90071								
Phone: 213-337-6700  Patent_Trademark office  EL 713 632 036 US  December 12, 2001									

Transmittal Letter to the United States Designated Office (DO/US)—Entry Into National Stage under 35 U.S.C. 371—PTO 1390 [13-7]

Attorney Docket No: 81839.0107

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

III I C abblication of	In	re	app	lication	of:
------------------------	----	----	-----	----------	-----

Not assigned

Makoto IIDA et al.

Art Unit: Examiner:

Not assigned

Serial No: Not assigned

Filed: December 12, 2001

For:

SILICON WAFER, SILICON EPITAXIAL WAFER AND

ANNEALED WAFER, AND METHOD FOR PRODUCING

THE SAME

CERTIFICATE OF MAILING VIA U.S. EXPRESS MAIL "Express Mail" Mailing Label No. EL 713 632 036 US

Date of Deposit: December 12, 2001

**Box PCT** Commissioner for Patents Washington, D.C. 20231

Dear Sir:

I hereby certify that

two copies of a letter of transmittal

patent application (<u>30</u> page(s) of specification; <u>18</u> claim(s); <u>1</u> page(s) of abstract

executed Declaration and Power of Attorney

assignment of the invention to SHIN-ETSU HANDOTAI CO., LTD.

return postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service with sufficient postage under 37 C.F.R. § 1.10 on the date indicated above and are addressed to:

> Box PCT Commissioner for Patents Washington, D.C. 20231.

Date: December 12, 2001

Hogan & Hartson, LLP 500 South Grand Avenue, Suite 1900 Los Angeles, California 90071 Telephone: 213-337-6700

Facsimile: 213-337-6701

Emily Cruz

Name of person mailing papers

Signature

10/009910 13 Rec'd PCT/PTO 1 2 DEC 2001

#3

PATENT 81839.0107 Express Mail Label No. EL 713 632 036 US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Art Unit: Not a

Not assigned

Makoto IIDA et al.

Examiner: Not assigned

Serial No: Not assigned

Filed: December 12, 2001

For:

SILICON WAFER, SILICON EPITAXIAL

WAFER AND ANNEALED WAFER, AND METHOD FOR PRODUCING THE SAME

## TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Box PCT Assistant Commissioner for Patents Washington, D.C. 20231

Dear Sir:

The information disclosure statement submitted herewith is being filed concurrently with the subject application [37 C.F.R. § 1.97(b)] and contains items of information cited in the parent application No. PCT/JP01/03101.

If it should be determined that for any reason either an insufficient or excessive fee has been paid, please charge any insufficiency or credit any overpayment necessary to ensure consideration of the information disclosure statement for the above-identified application to Deposit Account No. 50-1314. A copy of this paper is enclosed.

Respectfully submitted,

HOGAN & HARTSON L.L.P.

Date: December 12, 2001

By: Lawrence J. McClure

Registration Nb. 44,228 Attorney for Applicant(s)

500 South Grand Avenue, Suite 1900 Los Angeles, California 90071

Telephone: 213-337-6700 Facsimile: 213-337-6701